Performance Plan
Student Financial Assistance - FY2002

Bi-Weekly Report as of February 15, 2002

SUMMARY

GREEN LIGHT

- To further champion access to postsecondary education, Students Channel has identified and contacted three of five partners from national organizations to establish strategic and integrated partnerships.

- The first match for FY 2002 of the National Directory of New Hires database program resulted in collections of $91,302,123. The goal is to recover $200 million this fiscal year.

- SFAU's Learning Management System is scheduled to go live March 1, 2002. Once it is fully operational, registration for EAC conferences, school training, and internal SFA courses will be vastly improved.

RED LIGHT

- Schools Channel intends to drop the project to design an electronic p-note for Direct and FFEL PLUS loans.

- Due to IRB's not approving funding for a Student Aid Data Mart, CIO will not be able to re-engineer NSLDS to build a Student Aid Data Mart.

- Because IRB removed the $925,000 funding needed to develop a design for providing consistent data across SFA for both employees and customers, CIO will not be able to successfully complete this project. They are currently investigating alternatives.

- Financial Partners is concerned about improving the reliability of lender billing data through a redesigned lender payment process because they are reliant upon the FFEL community for commitment to actual implementation.

- Financial Partners is also concerned about retiring the guaranty agency and lender functions of the FFEL system because it cannot be accomplished until the above project is completed.

COMPLETED

- The goal to increase the number of lenders using EFT for Direct Consolidation by 100% has been exceeded. A total of thirteen lenders participated in the original EFT pilot project. As of February 1, 2002, thirty-nine lenders were using EFT. The dramatic impact of this initiative is seen in the fact that in December 2000 a total of 1,428 loans were funded by EFT, compared to November 2001where a total of 69,401 loans were funded by EFT.

- CIO has completed converting partner interfaces from a private network to the Internet.

PERFORMANCE PLAN INDICATOR STATUS AT A GLANCE*
as of February 15, 2002

|	Indicator[1]	Status	EMT/EBM*
Students Channel	Develop the design concept for the Students Portal that will provide access to student related online services.	Green	
	Establish integrated partnerships with 5 national organizations that target our identified audiences.	Green	
	Develop and disseminate 5 new information products that respond to the needs of the target audiences.	Green	
	Reduce the unit cost for calls received at 4-FED-AID.	Green	
	Develop "One Channel, One Number."	Green	
	Reduce the overall SFA documents printing budget by 10%.	Green	
	Increase the number of FAFSA's filed electronically to 5.5 million in FY 2002 with 55% via our web product.	Green	
	Process all paper and electronic FAFSA's with an average turnaround time of 6 days or less.	Green	
	Reduce erroneous financial aid grant payment awards based on IRS match and improved verification.	Green	
	Develop a new verification process that will reduce over/under awards of student aid payments.	Green	
	Fully support the Administration's efforts to improve the data match with the IRS.	Green	
	Develop and deploy a re-engineered FAFSA on the Web product.	Yellow	
	Increase by 25% the number of visitors to the Direct Loan Servicing Web site.	Green	
	Implement Internet billing and online correspondence as part of the Direct Loan eServicing initiative.	Green	
	Increase the number of lenders using EFT for Direct Consolidation by 100%.	Green	
	Process loan consolidations in 45 days or less.	Green	
	Increase the number of loan consolidation applications filed electronically to 80% of total applications.	Green	
	Improve default recovery rate.	Green	
	Increase the FY 2002 default recovery rate to 15%.	Green	
	Ensure that default recovery totals exceed default claim totals for the fiscal year.	Green	
	Recover $200 million in defaulted loans using the National Directory of New Hires database matching program.	Green	Y
	Demonstrate pursuit of improved default management and prevention strategies.	Green	Y
Schools Channel	Combine data from CPS and CODS to target compliance monitoring in abnormal situations.	Yellow	Y
	Keep the loan programs' cohort default rate under 8%	Green	
	Implement a common business process for aid origination and disbursement of Pell Grants and Direct Loans.	Green	Y
	Electronically integrate drawdown information with disbursement reporting data.	Green	Y
	Institute eligibility check for valid ISIR on file for all Direct Loan recipients (except PLUS).	Green	Y
	Provide tools for reviewing and monitoring of 30-day cash management reporting requirement.	Green	Y
	Develop a design for "Consistent Answers for Customers."	Green	
	Process 98% of the Direct loan origination and disbursement records within two days.	Green	
	Design an electronic master promissory note for Direct and FFEL PLUS loans.	Red	
	Implement Phase II of our eCampus Based modernization project.	Green	
	Develop a design for electronic institutional financial statements and compliance audits.	Green	
	Develop and deliver a series of services to new schools.	Green	
	Identify trends in risk areas and provide targeted technical assistance to schools.	Green	Y
	Identify areas for regulatory and legislative changes in the Title IV Programs.	Green	Y
	Conduct at least three national conferences for schools.	Green	
	Develop a guide on processing school closures that focuses on reducing the impact to students.	Green	
	Provide schools with tools for compliance and continuous improvement in Title IV program delivery and service.	Green	
	Identify areas for improving compliance effectiveness and take the appropriate steps to fix them.	Green	Y
	Process 98% of the Pell funding requests within 24-36 hours.	Green	
	Release Version 2 of the School Portal.	Green	
	Develop a single sign-on capability for the School Portal.	Green	
	Resolve 94% of school compliance audits within six months of receipt.	Green	
	Review SFA's current strategy for monitoring schools, lenders guaranty agencies and third-party servicers.	Green	Y
Financial Partners Channel	Establish Web Portal for Financial Partners to provide one stop access to SFA services and information.	Green	
	Implement Phase II of the Financial Partners Data Mart.	Green	Y
	Implement Phase III of the Financial Partners Data Mart.	Green	Y
	Improve reliability of lender billing data through a redesigned lender payment process.	Red	Y
	Continue monitoring the existing VFAs (4) and operational oversight.	Green	
	Provide VFA Report II to Congress.	Green	
	Retire the FFEL System remaining GA and Lender functions, and FP related support.	Red	
	Work with the GA community to establish common performance metrics in various areas.	Green	
	Utilize the FP Data Mart as a basis to establish risk management assessment ability of various agencies.	Green	
	Use established trade association work groups to emphasize data integrity and improve data reporting.	Green	Y
CIO	Complete the design of an enterprise-wide security and privacy architecture.	Green	
	Identify technology infrastructure and adopt technology standards to support GPEA electronic transactions.	Green	Y
	Appropriate integration of the IT investment management process with the acquisition process.	Green	Y
	Certify and accredit 100% of the general support systems and major applications.	Green	Y
	Install an electronic management and data retrieval system to support recordkeeping activities.	Green	Y
	Expand SFA's enterprise-wide electronic signature to several other business applications.	Green	Y
	Achieve 90% of the annual modernization milestones that have been approved by the ITIRB.	Green	Y
	Achieve an average of 10% unit cost per aid receipt reduction for VDC costs.	Green	
	Convert partner interfaces from a private network to the Internet.	Green	

	Indicator[1]	Status	EMT/EBM*
CIO cont'd	Continue phased re-engineering of current NSLDS.	Red	
	Implement Enterprise Application Integration (EAI) Release 3 as defined in approved business case.	Green	
	Implement Integrated Technical Architecture (ITA) Release 3 as defined in approved business case.	Green	
	Develop a design for providing consistent data from modernized systems to SFA.	Red	Y
CFO	Strengthen SFA's internal controls and financial integrity.	Green	Y
	Develop and implement Phase IV of the Financial Management System.	Green	Y
	Implement Oracle's "Federal Financial's" software package that meets federal accounting standards.	Yellow	Y
	Develop the project plan to upgrade Oracle's "Federal Financial's" to version 11i in FY 2003.	Green	Y
	Complete the concept and project plan to implement Oracle's multi-org capability.	Green	Y
	Ensure that SFA receives a clean opinion on its FY 2002 financial statements.	Green	Y
	Enhance SFA-wide activity-based costing as a management tool.	Green	
	Implement improved Direct Loan servicing infrastructure.	Green	Y
	Demonstrate data quality improvements in NSLDS to support the FFEL financing reporting.	Green	Y
	Update the SFA High Risk Action Plan for FY 2002.	Yellow	
	By 2003, Student Financial Assistance will leave the GAO high-risk list and will not return.	Green	Y
	Complete general infrastructure and items to meet GAO criteria.	Green	
	Strengthen financial management and internal controls.	Green	
	Implement an integrated set of information systems.	Green	
	Monitor recommendations to ensure that corrective actions are completed on time.	Green	
	Ensure SFA systems are reconciled to the Department's general ledger within 45 days of month's end.	Green	Y
	Meet regularly with GAO on the student financial assistance program's high risk status.	Green	Y
	Prepare action plans within 60 days of OIG issuance of final reports, and implement 95% within timeframes.	Green	Y
	Partner with the Department to ensure that SFA's new facility is fully functional and operational.	Yellow	
	Review baseline budget data and develop a framework for budget requirements.	Green	Y
	Use subsidy calculation assumptions to define requirements for a replicable model.	Green	Y
	Integrate IT investment management and budget processes for submittal of the FY ' 04 budget to OMB.	Green	Y
	Put financial management infrastructure in place.	Green	Y
	Complete postproduction validation of the Financial Management System.	Green	Y
	Make known the amount of funding available for IT initiatives at the beginning of the IT process.	Green	Y
	Ensure the Department has strong documentation to demonstrate that it has addressed high-risk issues.	Green	Y
	Reduce unit cost enough to overcome both increase in workload and shift in servicing operations.	Green	
	Measure the satisfaction of students, schools and financial partners.	Green	
	Integrate the student aid delivery system by eliminating thirteen legacy, stovepipe systems.	Green	
Enterprise Areas	Complete items in the SFA Action Plan on time 95% of the time.	Green	Y
	Roll out scorecards on the remaining 75-plus teams.	Green	
	Develop an intranet website with information about on-going, completed, and planned analytical projects.	Green	
	Create an SFA Program Development Knowledge Database.	Green	
	Release Version 2 of SFANet.	Yellow	
	Provide comprehensive communications support for key initiatives.	Green	
	Perform routine customer satisfaction surveys of Ombudsman services.	Green	
	Capture data to answer FAQ's about Ombudsman case issues.	Green	
	Modify procedures to expedite the recruitment process.	Yellow	
	Implement new employee incentives and recognition programs that support the Performance Plan.	Green	
	Implement SFA Performance Development Process.	Green	
	Determine employees skills needed to effectively perform program functions.	Green	
	Perform a 5-year workforce planning and restructuring analysis and include in FY '03 budget submission.	Green	
	Develop workforce restructuring implementation plan.	Green	
	Initiate competitive sourcing of appropriate tasks performed by employees consistent with the FAIR ACT.	Green	
	Modernize Human Resources through the automation of key processes.	Green	
	Develop a "Learning Management System" that will improve registration services for customers.	Green	
	Create and launch an SFA Career Zone web site and Washington, D.C. location.	Green	
	Develop and offer a multi-module voluntary learning series for SFA managers on "Managing for Performance."	Green	
	Complete adoption of performance measures to appropriate legacy contracts.	Green	
	Ensure that 100% of significant IT procurements are tied to an approved business case before processing.	Green	Y
	Approve business cases for IT initiatives before consideration by the IRB.	Green	Y
	Transform NSLDS and additional smaller contracts into performance-based instruments.	Green	
	Provide performance-based training on acquisition management to all SFA managers.	Green	

Accounting Transactions Processed Through RFMS to GAPS 02/04/2002 - 02/15/2002
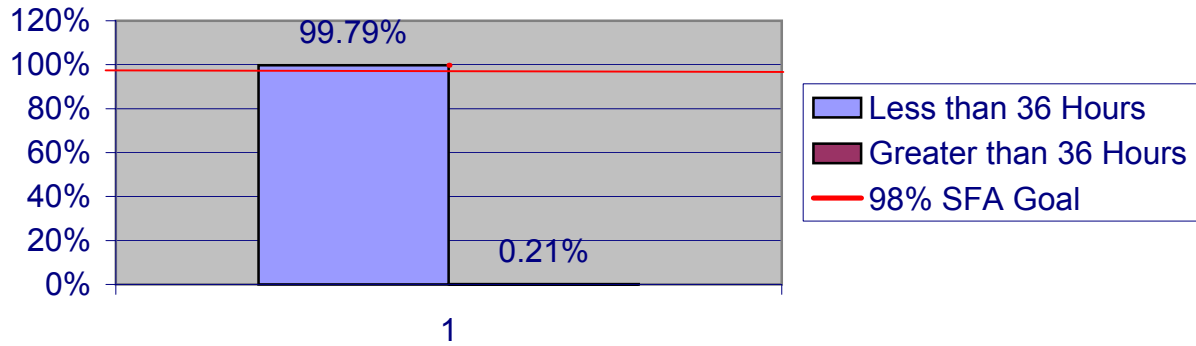
SFA And ACS are partnering to process Pell Grant data through to GAPS accurately 98% of the time within 36 hours.
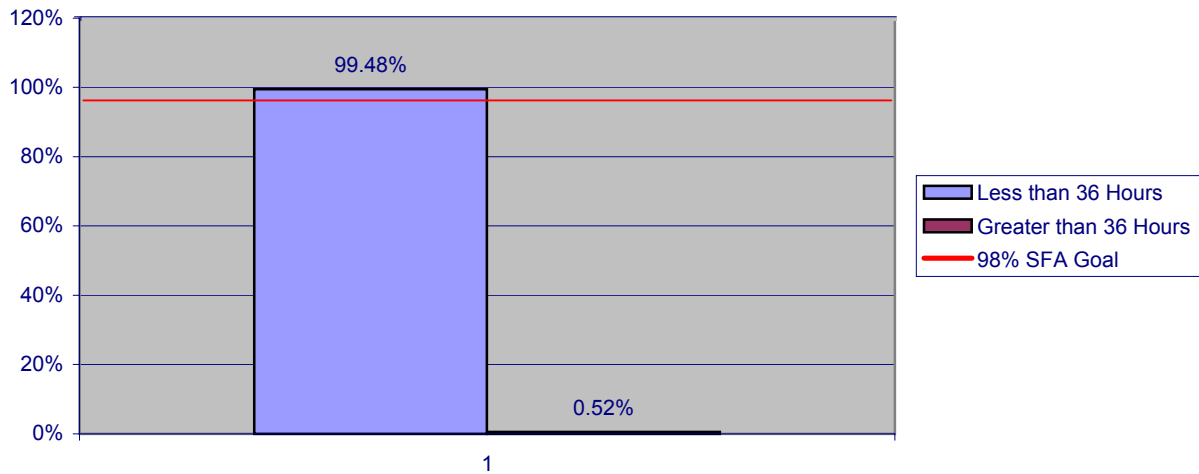
Accounting Transactions Processed Through RFMS to GAPS From 10/01/2001 Through 02/15/2002 (With GAPS shutdown)
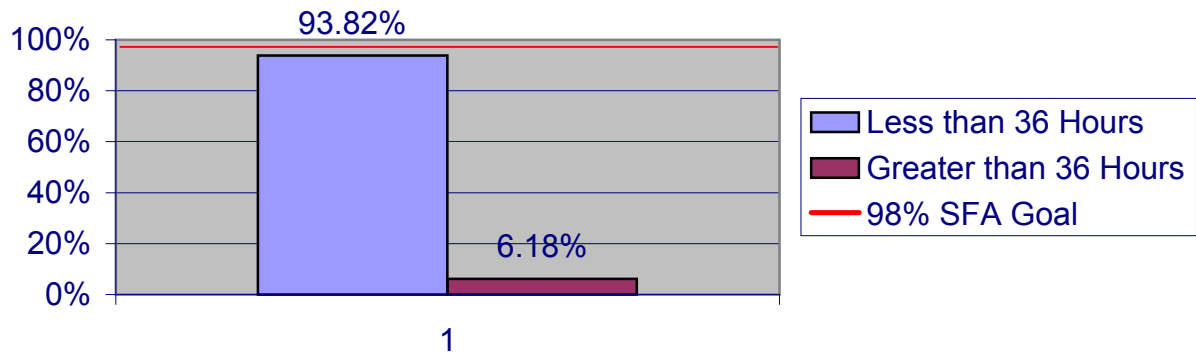
SFA And ACS are partnering to process Pell Grant data through to GAPS accurately 98% of the time within 36 hours.

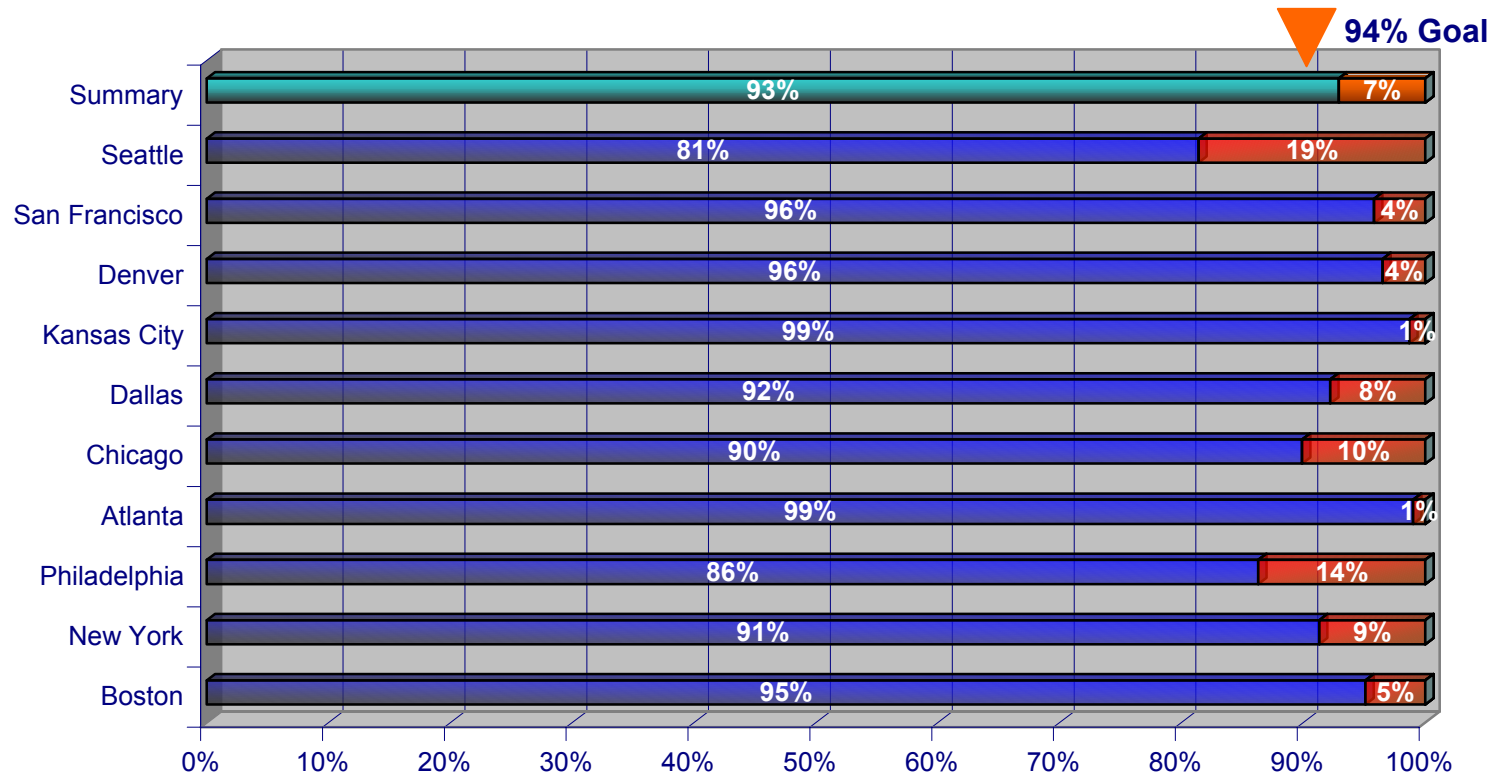**Note: GAPS shutdown 10/03/2001 - 10/04/2001; and 01/11/2002 - 01/21/2002.**

Accounting Transactions Processed Through RFMS to GAPS From 10/01/2001 Through 02/15/2002
(Without GAPS shutdown)

99.48%

0.52%

1

Less than 36 Hours
Greater than 36 Hours
98% SFA Goal

SFA And ACS are partnering to process Pell Grant data through to GAPS accurately 98% of the time within 36 hours.

Note: GAPS shutdown 10/03/2001 - 10/04/2001; and 01/11/2002 - 01/21/2002.

FY 02 Audit Performance Measure
10/01/2001 through 02/17/2002

94% Goal

	Summary	93%	7%
Seattle		81%	19%
San Francisco		96%	4%
Denver		96%	4%
Kansas City		99%	1%
Dallas		92%	8%
Chicago		90%	10%
Atlanta		99%	1%
Philadelphia		86%	14%
New York		91%	9%
Boston		95%	5%

0% 10% 20% 30% 40% 50% 60% 70% 80% 90% 100%

	Boston	New York	Philadelphia	Atlanta	Chicago	Dallas	Kansas City	Denver	San Francisco	Seattle	Summary
☐ Late	3	10	12	1	11	6	1	2	5	8	59
☐ Ontime	57	104	75	92	97	70	71	55	113	35	769
■ Summary	60	114	87	93	108	76	72	57	118	43	828
■ "% Late"	5%	9%	14%	1%	10%	8%	1%	4%	4%	19%	7%
■ "% Ontime"	95%	91%	86%	99%	90%	92%	99%	96%	96%	81%	93%

FY 02 Biweekly Audit Performance Measures
02/03/2002 through 02/17/2002
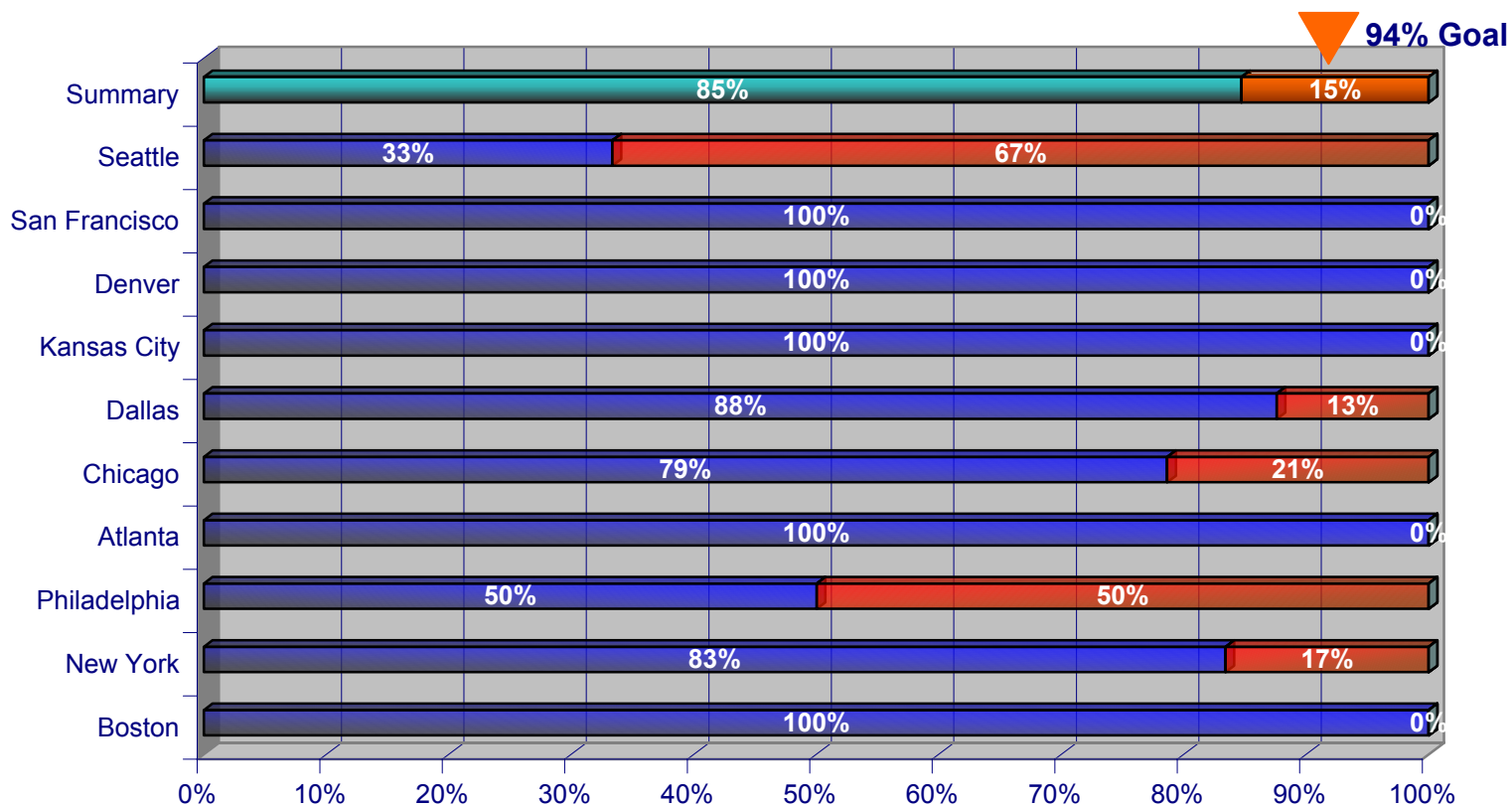
94% Goal

	Boston	New York	Philadelphia	Atlanta	Chicago	Dallas	Kansas City	Denver	San Francisco	Seattle	Summary
Late	0	1	1	0	3	1	0	0	0	4	10
Ontime	7	5	1	7	11	7	10	2	3	2	55
Summary	7	6	2	7	14	8	10	2	3	6	65
"% Late"	0%	17%	50%	0%	21%	13%	0%	0%	0%	67%	15%
"% Ontime"	100%	83%	50%	100%	79%	88%	100%	100%	100%	33%	85%

ID No	Channel	Action Item/ Performance Measure	Progress Summary	% Complete
1	Students	Develop the design concept for the Students portal that will provide access to Student related online services. *	Prototypes of the students portal have been completed. The infrastucture, development tools, security procedures, and posting procedures have been agreed to. Currently the portal is being refined to have a more user-friendly interface, and division of information. A focus group of college-aged students is being planned to occur in the next 2 weeks.	20%
2	Students	Establish strategic and integrated partnerships with 5 national organizations that provide services to Student Aid Awareness targeted audiences in order to champion access to postsecondary education.	Relationship building is an on-going, often slow process	60% (3 of 5 partners identified/contacted)
3	Students	Develop and disseminate 5 new information products that respond to the needs of the target audiences.	Some organizations request information from us that is not a "product", such as presentations or exhibits	60% ("information products being developed for 3 of 5 partners identified)
4	Students	Reduce the unit cost for calls received at 4-FED AID.	The FSAIC contract was renegotiated and started on October 2001.	meeting standard
5	Students	Develop One Channel, One Number.		
6	Students	Reduce the overall SFA documents printing budget by 10%.	To date we have spent less printing money than last year. It should be noted that the majority of the printing budget is spent in the 4th quarter.	meeting standard
7	Students	Increase the number of FAFSAs filed electronically from 5 million last year to 5.5 million in FY2002 with 55% via our web product.	Through the end of January 2002, there have been 1,939,022 applications processed in FY02. Of these, 1,168,882 have been filed electronically, with 718,345, of them filed via the web. To date 61% of all electronic submissions have utilized the web. At this time, we are projecting that we will process 6,974,827 applications electronically in FY02. Of that number, we are projecting that 4,601,486 or 66% of them will be filed via the web.	meeting standard
8	Students	Process all paper and electronic FAFSA's with an average turnaround time of 6 days or less.	For the 2002-03 processing cycle year to date, we are processing applications in an average of 3.5 days. For the most recent reporting period, we are processing applications in 2.7 days.	exceeding standard
9	Students, Schools, Analysis	Develop a new verification process that will drive an over/under award reduction through targeted, improved verification criteria.		0%
10	Students	Fully support the administration's efforts to improve the data match with the IRS.	Completion date depends on when the Treasury Department and Congress amend the Internal Revenue Code to allow ED to implement income verification with the IRS.	10%
11	Students	Develop and deploy a re-engineered FAFSA on the Web product that includes features that our customers' want, based on an architecture that is compatible with modernization objectives and that is scalable. *		

ID No	Channel	Action Item/ Performance Measure	Progress Summary	% Complete
12	Students	Increase by 25% the number of visitors to the Direct Loan Servicing Web site.	As of January 1, 2002, the average increase in the number of visits for the quarter is 21%, which is 4% lower than the goal.	below standard
13	Students	Implement Internet billing and online correspondence as part of the Direct Loan eServicing initiative.*	Pilot Phase 2 is underway. We are on track to roll out in full production on schedule.	In pilot
14	Students	Increase the number of lenders using EFT for Direct Consolidation by 100%.	As of Feburary 15, 2002 the goal will have been exceeded by 60%. A total of 13 lenders participated in the original EFT pilot project. As of Feburary 1, 2002, 39 lenders were using EFT and a total of 43 lenders will have enrolled by Feburary 15, 2002. Lenders are excited about EFT because it reduces costs, time and increases both customer and employee satisfaction by decreasing the number of days required to book a loan. The dramatic impact of this initiative is seen in the fact that in December, 2000 a total of 1,428 loans were funded by EFT compared to November, 2001 where a total of 69,401 loans were funded by EFT.	exceeding standard
15	Students	Process loan consolidations in 45 days or less.	This goal has been exceeded by 9%. The number of applications accepted in FY2001 exceeded 1,280,000, with over 983,000 loans consolidated. Despite increases in application volume the average number of days required to book a loan continues to decrease below the goal of 45 days. As of January 2, 2002 consolidation loans are being booked in an average of 42 days.	exceeding standard
16	Students	Increase the number of loan consolidation applications filed electronically from 73% to 80% of total applications.	This goal is 97.5% completed. For the three months of November and December, 2001 and January 2002, a total of 87,711 electronic applications were submitted compared to 23,687 paper applications. For these three months 78.5% of all applications for loan consolidation were submitted electronically.	exceeding standard
17	Students, Schools, Financial Partners	Increase the FY2002 default recovery rate to 15%.	MEASURE UNDER REVIEW	
18	Students, Schools, Financial Partners	Ensure that default recovery totals exceed default claim totals for the fiscal year.	MEASURE UNDER REVIEW	
19	Students	Expand the use of the National Directory of New Hires database matching program to recover $200-million in defaulted student loans. **	First match for FY02 was conducted on 12/28/01. FY02 Collections to date: $91,302,123.	meeting standard
20	Students, Schools, Financial Partners	Demonstrate pursuit of improved default management and prevention strategies. **		

ID No	Channel	Action Item/ Performance Measure	Progress Summary	% Complete
20.5	Schools	SFA will combine data from the Central Processing System (CPS) and Common Origination and Disbursement System to identify abnormal concentrations of students with unique characteristics (such as over 65) at an institution. Case Management will monitor the data monthly to identify irregularities and do additional review of the institutions and, if cases of fraud or abuse are suspected, refer them to the OIG.**		
21	Schools	Keep the loan programs' cohort default rate under 8%.		
22	Schools	Implement a common business process and system for aid origination and disbursement of Pell Grants and Direct Loans to provide the infrastructure to improve school reporting, cash management and internal control processes.**		
22.1	Schools	Electronically integrate drawdown information with disbursement reporting data to track cash balances at schools.**		
22.2	Schools	Institute eligibility check for valid ISIR on file for all Direct Loan recipients (except PLUS)**		
22.3	Schools	Improve the mechanism to age cash received by school and systematically monitor progress towards 30-day reporting requirements.**		
23	Schools	Develop a design for "Consistent Answers for Customers."		
24	Schools	Process 98% of the Direct Loan origination and disbursement records within two days.		
25	Schools	Design an electronic master p-note for Direct and FFEL PLUS loans.*		
27	Schools	Implement Phase II of our eCampus Based modernization project by replacing the mainframe system with a new Oracle-based system. *	Project is nearly complete. Performance and user acceptance testing still needs to be completed.	90%
28	Schools	Improve institutional records by developing a design for electronic school financial statements and compliance audits, and improve SFA recordkeeping by imaging current & future records in the DRCC, and better deployment of workflow. *	eAudit is funded through 5/15/02 (Preliminary Design); The imaging project falls under CIO-50	5%

ID No	Channel	Action Item/ Performance Measure	Progress Summary	% Complete
29	Schools	Develop and deliver a series of services to new schools, which includes assistance during the first 12 months of their participation in the Title IV Programs.		
30	Schools	Identify trends in risk areas and provide targeted technical assistance to schools. **	We are gathering data that will allow our group to have first meeting 3/20 at which time we should also have school names which will allow us to develop the work plan.	10%
31	Schools	Identify areas for regulatory and legislative changes in the Title IV Programs (including improvements to strengthen program integrity). **	Based on x-sites data, submitted recommendations to neg. reg; held initial meeting to develop/design mechanism for obtaining recommendations for project. Milestone 1 completed.	20%
31.5	Schools	Conduct at least three national conferences for schools.		
32	Schools	Develop a "How To" guide with our oversight partners on processing school closures that focuses on reducing the impact to students.		
33	Schools	Promote the Title IV schools' quality performance by providing them with tools for understanding and improving management practices, program requirements, and verification outcomes.	First set of new Assessments announced at EACs in Nov. & Dec.; web updates completed in 1/02. Verification software tool tested, accepted & released in 1/02. Collaborating w/SFA U on training development & materials.	60%
34	Schools	Identify areas for improving compliance effectiveness and take the appropriate steps to fix them. **	Project on schedule	10%
35	Schools	Process 98% of the Pell funding requests from RFMS/COD system receipt to GAPS within 24-36 hours so that funds are available for school drawdown within 5 days.		
36	Schools	Release version 2 of School Portal. This version will provide a common look and feel of SFA websites for schools, enhanced query capabilities, and development of regional presence.	Significant resources must be brought to bear to "solve" the search problem. Team leader trying to engage SFA CIO and Accenture Architecture teams in resolution. Facilitating a meeting with Autonomy and the CIO and Accenture team members. Striving to get SFA CIO to take ownership.	5%
40	Schools	Resolve 94% of school compliance audits within six months of receipt to meet OMB A 50 requirements.		
40.1	Schools/ Financial Partners	Review SFA's current strategy for monitoring schools, lenders, guaranty agencies and third-party servicers; identify the various levels and types of monitoring, including where performed and by whom. Determine which kinds of monitoring are linked to the basic administration of the student financial aid programs.**		
41	Financial Partners	Establish Web Portal for Financial Partners to provide one stop access to SFA services and information. *	The project is on schedule to go live in production with the first release on 4/15/02.	75%

ID No	Channel	Action Item/ Performance Measure	Progress Summary	% Complete
42	Financial Partners	Implement Phase II of the Financial Partners Data Mart. This phase will provide self monitoring and oversight tools and focus on the data load and link with the new FMS to provide a continuous stream of financial data and selected NSLDS elements necessary to augment data comparisons and lender risk management assessment. * **		25%
43	Financial Partners	Implement Phase III of the Financial Partners Data Mart. This phase will provide augmented monitoring tools and oversight ability. The release will focus on the data load and links from FMS, PEPS, NSLDS, and an evaluation of any newly implemented processes or systems that may replace existing legacy links. * ** *(This phase commences in FY02 and will continue in development and deployment in FY03 with an objective end date of 12/31/02)* .	This phase has not yet started	0%
44	Financial Partners	Improve reliability of lender billing data through a redesigned lender payment process.* **	We are very behind and we are reliant upon the FFELP community for commitment to actual implemanttion since the lender/servicer contracts need to be corrected	40%
45	Financial Partners	Ongoing monitoring of the existing VFAs (4) and operational oversight.		
46	Financial Partners	VFA Report II to Congress.		
47	Financial Partners	Retire the FFEL System remaining GA and Lender functions as well as FP related support in conjunction with the new FMS build for the Lender Payment Process Redesign.*	This is closely linked to project P2002-FP-0004. It can not be accomplished until the linked project is completed.	0%
48	Financial Partners	Work with the GA community to establish common performance metrics primarily in the areas of delinquency, default aversion and collections.		
49	Financial Partners	Utilize the FP Data Mart as a basis to establish risk management assessment ability of Lenders, Servicers, and Guarantee Agencies-- Phase 1 (Phase 2 will cross into FY03 and commence 10/01/02 and end 12/31/02).		
49.5	Financial Partners	Consistent with the department's Strategic Plan, utilize established trade association work groups to emphasize data integrity through consistent standards and develop improved data reporting to SFA systems.**		
37	CIO	Develop a "single sign-on" capability for the School Portal that will allow schools to access various Title IV databases with just one sign-on.	Phase 1 is nearly completion and will meet it's target of 3/31/02 for delivery of final requirements document. IRB funding is required for following phases.	70%

ID No	Channel	Action Item/ Performance Measure	Progress Summary	% Complete
50.1	CIO	Complete the design of an enterprise-wide security and privacy architecture which supports the target state vision and complies with Governmentwide and Departmental laws, rules and regulations, including necessary policy guidance, training materials, and lifecycle-support tools to help the business units build and operate systems worthy of trust.	On schedule	
50.2	CIO	Identify technology infrastructure and adopt technology standards necessary to support the Department's Government Paperwork Elimination Act (GPEA)-identified electronic transactions. **	On schedule	
50.3	CIO	Appropriate integration of the IT investment management process with the acquisition process.**	On schedule	
50.6	CIO	100% of general support systems and major applications will be certified and accredited or receive interim approval to operate, and will develop and test disaster recovery plans that are updated annually.**	On schedule	
50.7	CIO	Install an electronic management and data retrieval system to support both paper and electronic record-keeping activities after evaluating the SFA pilot. *(Initial phases only, full completion not anticipated until 9/30/2003.)* **	Backfile Conversion On Schedule. Presented the ERM Business Case to the IRB on Feb. 6th. The Business Case was approved pending the current funding issue. Working to address how the ERM team can leverage other initiatives, such as LO/LC, e-Audit, and e-Signature in order to capitalize on how we can best utilize the funding to support multiple projects. Completed the scrubbing and shipping of 768 foreign school files this week. Due to the priority of these files 73 boxes were shipped and will be available on-line within one week. Shipping activities out of ROB3 continue on schedule.	
50.8	CIO	Expand SFA enterprise-wide solution for electronic signature, (PIN, Digital Signature, Smart Cards, etc.) to several other business applications.**	Perkins E-Note: Working with community of Perkins schools, national associations (COHEAO, NACUBO) and 3rd party servicers to define and provide multiple technology solutions to enable electronic signatures in the Perkins promissory note process.	
50.9	CIO	Provide continued support to channels for the design and development of Modernization Projects by achieving 90 percent of the annual major modernization milestones that have been approved by the Information Technology Investment Review Board. (See Sequencing Plan summarized in the Appendix of the Modernization Blueprint).* **	On schedule	meeting standard

ID No	Channel	Action Item/ Performance Measure	Progress Summary	% Complete
51	CIO	Achieve an average 10% unit cost per aid recipient reduction (FY 02 vs. FY 01) for VDC costs.	On Schedule. Monthly reports are provided to each business owner reflecting VDC cost and service level metrics.	meeting standard
52	CIO	Convert partner interfaces from a private network to the Internet.*	COMPLETED, 12/18/01	
53	CIO	Continue phased re-engineering of current NSLDS by resolving interface issues and building a Student Aid Data Mart.*	The management counsel (IRB) did not approve funding a Student Aid Data Mart.	
54	CIO	Release 3 of the EAI Core architecture will invest in building additional and enhanced information system services to enable end-to-end processes by the business applications. Implement EAI Release 3 as defined in approved business case.*	On schedule	
55	CIO	Release 3 of the ITA will develop and deploy integrated technologies and processes to enable reuse across SFA's web-based applications (FAFSA, eCBS, etc.) Implement ITA Release 3 as defined in approved business case.*	On schedule	
57	CIO	Develop a design for providing consistent data across SFA from modernized systems to deliver consistent answers to our customers and provide consistent information for employees for program oversight. * **	IRB removed this item from the 'placemat', along with the $925,000 funding needed to complete the design. Even though data sources/systems identified and validation by SME's initiated, difficult to proceed. It is unlikely that CIO will be able to successfully complete this project, as intended, by 9/30/2002. Currently investigating alternatives.	
58	CFO	Strengthen SFA's Internal Controls and Financial Integrity. Develop FY 2002 plans by November 30, 2001. **	Plan in place, actions being worked in the plan are on track.	
59	CFO/Mod Partner, Financial Partners and Schools	Develop and implement Phase IV of the Financial Management System, providing a reliable tool to improve the internal controls and financial management of programs. **		
60.1	CFO/Mod Partner	Implement Oracle's "Federal Financial's," a software package that meets federal accounting standards.**		
60.2	CFO/Mod Partner	Work with Department to develop the project plan to upgrade Oracle "Federal Financials" to version 11i in FY 2003 to keep accounting system current. **		
60.3	CFO/Mod Partner	Work with Department to complete the concept of operations for implementing Oracle's multi-org capability. Complete a project plan to implement it in FY 2003 and FY 2004, if the proof-of-concept initiative indicates multi-org should be implemented.**		

ID No	Channel	Action Item/ Performance Measure	Progress Summary	% Complete
61.2	CFO	Continue work to ensure that SFA receives a clean opinion on its FY 2002 financial statements and to ensure compliance with all laws and regulations, in particular the Federal Financial Management Act of 1996.**	Project plans due 2/15 to provide assurance that have processes and procedures in place for updated reconciliations and analyses for the new systems by 6/30/02.	
62	CFO	Enhance SFA-wide activity-based costing as a management tool for decision-making and for managing costs.		
63	CFO	Implement improved DL servicing infrastructure to better support DL financial management reporting. (FARS Retirement). **	Contract is under negotiation. Data mart is in start-up and FMS is being implemented. We are currently behind schedule in reaching agreement with Accenture.	75%
64	CFO	Continue the NSLDS data quality efforts and continue to demonstrate data quality improvements to support the FFEL program financial reporting. **	Independent report indicating the NSLDS information used by Budget in its subsidy model was generally of high quality. OCIO is continuing with monthly benchmarking and reporting.	100%
65	CFO	Update the SFA High Risk Action Plan for FY 2002. **		
66	CFO	Monitor audit/management recommendations to ensure that planned corrective actions are completed within established timeframes.	This performance measure is the same as CFO-0003; therefore we have requested that this measure be dropped.	
66.1	CFO	Ensure SFA systems are reconciled to the department's general ledger within 45 days of the end of each calendar month, improving timeliness in support of the financial statement audit process. **	Project plans due 2/15 to provide assurance that have processes and procedures in place for updated reconciliations and analyses for the new systems by 6/30/02.	below standard
66.2	CFO	Meet regularly with GAO on status of improvements related to the student financial assistance program's high risk status. **	Meet with GAO and Department personnel 2/8 to discuss strategies for HR issues.	N/A
66.3	CFO	Prepare action plans within 60 days of OIG issuance of final reports. Implement 95% of accepted OIG and GAO recommendations using action plans within the committed timeframes. **	On target	meeting standard
67	CFO/ED's OM	Partner with the Department to ensure SFA's new facility is fully functional and operational.		
67.1	CFO	Review baseline budget data and develop a framework for budget requirements using the single appropriation that has been agreed to by the Department and OMB.**	Worked with Budget to provided initial budget information to the OMB, but plan needs to be prepared to ensure framework is in place to meet midsession review requirements.	

ID No	Channel	Action Item/ Performance Measure	Progress Summary	% Complete
67.2	CFO	Through a department/OMB Student Loan Credit Modeling Working Group, the department will clarify the underlying assumptions used to generate baseline and policy estimates and summarize the key issues regarding the subsidy calculation methodology that require an OMB policy decision for formulating the FY 2003 budget. Use these assumptions and decisions to define requirements for a mutually-supported auditable model that will allow all parties in OMB and the department to replicate and test all estimates used for policy and management decisions, as well as financial management reporting.**	Will support ED-Budget in this process. Plan needs to be developed by Budget to ensure that new model in place for midsession review requirements.	
67.3	CFO	Appropriately integrate IT investment management process with the budget process by the time the FY 2004 budget is submitted to OMB.**	Will support ED-CIO/ED-Budget in this process. SFA's IRB/Budgeting process is currently integrated, and will be sure that the FY 2004 continues this integration.	
67.4	CFO	Put Financial Management Infrastructure in place that is optimal for the department's needs and requirements.**	Will support the MIT/OCFO in this process. However, currently SFA-CFO is reassessing the current structure to ensure is appropriate to support new processes and procedures.	
67.5	CFO	Complete postproduction validation of the Financial Management System**	Support to OCFO in this process.	
67.6	CFO	Make known the approximate amount of funding available for significant IT initiatives at the beginning of the IT Investment Management process.**	Will support ED-CIO in this process. SFA's IRB process includes providing the approximate amount of funding available for significant IT initiatives at the beginning of the IT Investment Management process.	100%
67.8	CFO	Ensure the Department has strong documentation to demonstrate that it has addressed high-risk issues.**	Initial meetings held on documentation	
67.9	CFO	Track significant IT systems against cost, schedule, and performance goals with the target that variances will be below 10 percent.		
69	Communica-tions	Release Version 2 of SFANet with enhanced knowledge management less dependent upon SFA's organizational structure.		
70	Communica-tions	Provide comprehensive communications support for key initiatives such as New Building, Team Scorecards, and Career Zone.		
77	SFA University	Develop a "Learning Management System" that will support the administration, delivery and integration of training throughout SFA and with external partners.	The LMS is on schedule to go live March 1, 2002. Currently most 2002 training workshops have not been given final location/dates; will be loaded and available within the LMS pending final dates and clearance through the moratorium.	85%

ID No	Channel	Action Item/ Performance Measure	Progress Summary	% Complete
78	SFA University, HR	Create and launch an SFA Career Zone web site and Washington, DC location.	The CZ project is on schedule for regional presentations, for web site, and for skill exchange courses. The opening of the DC facility has been delayed due to construction issues, change in building management; the hiring of counselors has been delayed pending resolution of contract issues. Both remaining items are expected to be resolved by April 30, 2002.	75%
79	SFA University	Develop and offer a multi-module voluntary learning series for SFA managers on "Managing for Performance."	The first module of the managers program will be introduced at a pilot session in Chicago February 28.	10%
71	Ombudsman	Do routine customer satisfaction surveys of ombudsman services.		
71.1	Ombudsman	Capture data to answer frequently asked questions about the presenting problems on Ombudsman cases.		
68	Analysis	Roll out scorecards to the remaining 75-plus SFA teams.		
68.1	Analysis	Develop an intranet website with information about on-going, completed, and planned analytical projects that focus on the student aid programs and effective service delivery. *This site will also include information about relevant educational research conducted by sources outside of the Department.*		25%
	Analysis	Create SFA Program Development Knowledge Database that will serve as an historical repository of all private-letter guidance and Regional Q&A documents sent to ED Regional Offices, schools, agencies, lenders, servicers, associations, students, and parents. The database will be housed on the intranet and contents fully searchable.	Project is fully developed and is being tested for 508 compliance. We are preparing to have users test the system before it goes live.	90%
72	SFA HR	Modify procedures to expedite the recruitment process.		
73	SFA HR	Implement new employee incentives and recognition programs that support the performance plan.		
75	SFA HR	Implement SFA Performance Development Process.		
75.1	SFA HR	Determine employees skills needed to effectively perform program functions.		
75.2	SFA HR	Work with Department to perform a five-year workforce planning and restructuring analysis and include it as part of the FY 2003 Budget submission.		
75.3	SFA HR	Work with the Department to develop workforce restructuring implementation plan.		
75.4	SFA HR	Implement a competitive sourcing pilot within SFA.		

ID No	Channel	Action Item/ Performance Measure	Progress Summary	% Complete
76	SFA HR	Modernize Human Resources through the automation of its key processes.		
80	Acquisition and Contracts Performance	Complete adoption of performance measures to appropriate legacy contracts.		
80.1	Acquisition and Contracts Performance	Contracting offices will ensure 100% of significant IT procurements, (eg., hardware, software, and services) are tied to an approved business case before processing.**		
80.2	Acquisition and Contracts Performance	The contracting officer, project sponsor, and project manager will approve the business cases for significant IT initiatives before consideration by IRB.**		
81	Acquisition and Contracts Performance	Transform NSLDS and additional smaller contracts into performance-based instruments.		
82	Acquisition and Contracts Performance	Provide performance-based training on acquisition management to all SFA managers.		
0.9	COO	Complete items in the SFA Action Plan on time 95% of the time in FY 2002. **		